

3125
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K. Penell

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Nicholas Frattalone

Examiner: N/A

Application No.: N/A

Group Art Unit: N/A

Filed: **Herewith**S&L Docket No.: **P24256-B USA**For: **METHOD AND SYSTEM FOR
IMPLEMENTING A COMBINED
INVESTMENT**Box Patent Application
Commissioner for Patents
Washington, DC 20231**INFORMATION DISCLOSURE STATEMENT**

Sir:

This Information Disclosure Statement accompanies the new patent application submitted herewith. 37 CFR § 1.97(a).

Forwarded herewith is Form PTO-1449 (Modified) listing patents, publications or other information ("documents") believed to be relevant to the subject application. It is respectfully requested that these documents be considered by the Examiner and an initialed copy of each Form PTO-1449 be returned to the undersigned. Copies of the documents listed on PTO-1449 (Modified) are supplied herewith.

It is believed that this disclosure complies with the requirements of 37 C.F.R. subsections 1.56, 1.97, 1.98 and the Manual of Patent Examining Procedure § 609. If for some reason the Examiner considers otherwise, it is respectfully requested that the undersigned be called so that any deficiencies can be remedied.

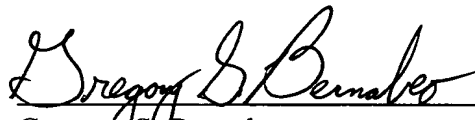
REMARKS REGARDING CITED ART

While the information and references disclosed in this Information Disclosure Statement may be "material" pursuant to 37 CFR § 1.56, it is not intended to constitute an admission that any patent, publication or other information referred to therein is "prior art" for this invention unless specifically designated as such.

In accordance with 37 CFR § 1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made or that no other material information as defined in 37 CFR § 1.56(a) exists.

Respectfully submitted,

Dated: August 6, 2001


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 (Use several sheets if necessary)

Docket Number (Optional)

P24256-B USA

Application Number

N/A

Applicant(s)

N. Frattalone

Filing Date

Herewith

Group Art Unit

N/A

U.S. PATENT DOCUMENTS

*EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	4,346,442	08/24/1982	Musmanno	364 705	408 36	07/29/1980
	AB	4,376,978	03/15/1983	Musmanno	364 705	408 36	10/22/1980
	AC	4,597,046	06/24/1986	Musmanno et al.	364 705	408 36	09/30/1982
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	AE	4,876,648	10/24/1989	Lloyd	364 705	408 38	01/12/1988
	AF	4,953,085	08/28/1990	Atkins	364 705	408 36	04/15/1987
	AG	5,644,726	07/01/1997	Oppenheimer	395 705	238 38	03/19/1990
	AH	5,689,649	11/18/1997	Altman et al.	395 705	238 36	03/01/1991
	AI	5,812,987	09/22/1998	Luskin et al.	705	36	03/13/1995
	AJ	5,884,285	03/16/1999	Atkins	705	36	01/16/1992
	AK	5,911,136	06/08/1999	Atkins	705	36	03/26/1997

FOREIGN PATENT DOCUMENTS

	REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
							YES	NO

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

EXAMINER

E. Collett

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

INFORMATION DISCLOSURE CITATION
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APPLICANT(S)
N. Frattalone

FILING DATE
Herewith

GROUP
N/A

U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AL	5,950,175	09/07/1999	Austin	705	35	10/14/1994
	AM	6,018,722	01/25/2000	Ray et al	705	36	06/19/1997
	AN	6,021,397	02/01/2000	Jones et al.	705	36	12/02/1997
	AO	6,055,517	04/25/2000	Friend et al.	705	36	01/30/1998
	AP	6,070,151	05/30/2000	Frankel	705	35	11/29/1995
	AQ	6,122,623	09/19/2000	Garman	705	36	07/02/1998

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

			"Securities-Based Financing," Merrill Lynch Business Center, 3 pp. excerpted from http://www.businesscenter.ml.com

EXAMINER

E. Colbert

DATE CONSIDERED

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.